

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Shibanuma, T. et al.
SERIAL NO. Not yet assigned
FILING DATE: September 5, 2003
INVENTION: "BATHOPHENANTHROLINE COMPOUND AND PROCESSES FOR PREPARING SAME"

ATTORNEY DOCKET NO. 09792909-5708
GROUP ART UNIT: Not yet assigned
EXAMINER: Not yet assigned

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

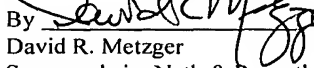
Commissioner of Patents
Alexandria, VA 22313-1450
Sir:

Submitted herewith is an Information Disclosure Statement for consideration in the above-identified application. This Information Disclosure Statement is submitted:

- ☒ Within 3 months (1) of filing date of a national application; (2) of date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first Office Action on the merits, whichever occurs last. (No fee is required.)
- ☐ After the mailing date of a first Office Action but before (1) mailing of a final action under 37 C.F.R. §1.113; or (2) mailing of a notice of allowance under §1.311, whichever occurs first.
☐ Payment for the fee set forth in 37 C.F.R. §1.17(p) accompanies this submission; or
☐ The certification specified in 37 C.F.R. §1.97(e) is made below. (No fee is required.)
- ☐ After the mailing of (1) a final action under 37 C.F.R. §1.113; or (2) a notice of allowance under 37 C.F.R. §1.311 whichever occurs first, but **before** payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) is made below. The Commissioner hereby is petitioned to consider the Information Disclosure Statement accompanying this submission. Payment for the Petition fee set forth in 37 C.F.R. §1.17(i)(1) accompanies this submission.
- ☐ The undersigned counsel for applicant(s) hereby certifies each item of information identified in the Information Disclosure Statement was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The undersigned counsel for applicant(s) hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application, or to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The enclosed credit card payment form to charge the fee of \$180.00 is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 19-3140. *A duplicate copy of this sheet is enclosed for this purpose.*

Very respectfully,

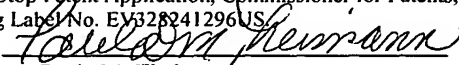
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CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement is being deposited with the United States Postal Service with sufficient postage as Express Mail in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on September 5, 2003 bearing Label No. EX328241296 US


Paula M. Theismann

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT

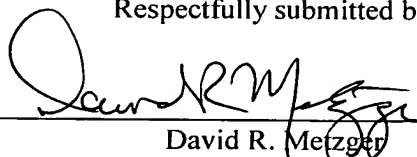
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S I R:

In accordance with the provisions of 37 C.F.R. § 1.56, Applicants request that citation and examination of the references identified on the attached PTO-1449 form, copies of which are enclosed herewith in accordance with 37 C.F.R. §1.98, be made during the course of examination of the above-referenced application for United States Letters Patent. The enclosed references were cited in European Patent Office Search Report of August 12, 2003 in counterpart European Ser. No. 00123668.6. A copy of the Search Report is submitted herewith.

Respectfully submitted by,



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Form PTO-1449 (Rev. 8-88)		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No. 09792909-5708		Serial No. Not yet assigned		
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				Applicant: Shibamura, T. et al.				
				Filing Date: September 5, 2003		Group Art Unit: Not yet assigned		
U.S. PATENT DOCUMENTS								
Examiner Initial*		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
FOREIGN PATENT DOCUMENTS								
		Document Number	Date	Name	Class	Subclass	Translation	
	B1	WO99/53724	10/21/1999				Yes	No
	B2	EP 0564224	10/06/1993				x	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	C1	Sugihara, H. et al.; Lithium Ion-Selective Electrodes Based on 1,10-Phenanthroline Derivatives, <i>Analytical Sciences</i> , October 1993, Vol. 9, Pages 593-597.						
	C2	Case, F. et al. Substituted 1,10-Phenanthrolines, VIII. 2- and 3-Phenyl Derivatives, <i>Journal of Organic chemistry</i> , October 1955, Vol. 20, Pages 1330-1336.						
	C3	Dietrich-Buchecker, C. O., Direct Synthesis of Disubstituted Aromatic Polyimine Chelates, <i>Tetrahedron Letters</i> ,, 1982, Vol. 23, No. 50, Pages 5291-5294.						
	C4	Dietrich-Buchecker, C. O., Interlocked Macrocyclic Ligands: A Catena and Whose Rotation of One Ring Into The Other Is Precluded By Bulky Substituents, <i>Tetrahedron Letters</i> , 1986, Vol. 27, No. 20, Pages 2257-2260.						
Examiner					Date Considered			
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								